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Date May 12, 2005 Client-Matter 74622-007

Fax Transmittal

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To: Examiner: John W. Hayes

Fax No.: 703.872.9306

Company: United States Patent and Trademark Office - Group Art Unit 3621

Voice No.: 703.306.5447

Message

Re: Inventor : Phillip Koh-Kwe Hsu
 Serial No. : 09/685,924
 Filing Date : October 10, 2000
 Title : INTRANET SYSTEM FOR A FINANCIAL SERVICES CORPORATION
 Att'y Docket : 74622-007

Attached please find the following:

- 1) Power of Attorney and Correspondence Address Indication Form
- 2) Statement Under 37 CFR 3.73(b)

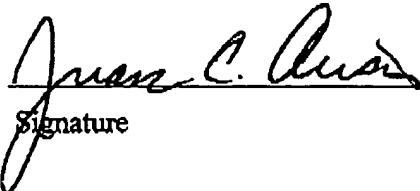
Please contact John C. Stellabotte at (212) 969-3413 if you have any questions.

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PTO/SB/61 (09-04)

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|---|------------------------|--|
| <p align="center">POWER OF ATTORNEY and CORRESPONDENCE ADDRESS INDICATION FORM</p> | Application Number | 09/685,024 |
| | Filing Date | October 10, 2000 |
| | First Named Inventor | Phillip Koh-Kwo Hsu |
| | Title | INTRANET SYSTEM FOR A FINANCIAL SERVICES CORPORATION |
| | Art Unit | 3621 |
| | Examiner Name | John W. Hayes |
| | Attorney Docket Number | 74822-007 |

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I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

SIGNATURE of Applicant or Assignee of Record

Signature

Date

Name

Gregg I. Goldman

Telephone

203.719.3099

Title and Company

Director and Senior Counsel, Technology and Intellectual Property, UBS AG, Stamford Branch

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☐ *Total of _____ forms are submitted.

This collection of information is required by 37 CFR 1.31 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Approved for use through 07/31/2006, OMB 0851-0031

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STATEMENT UNDER 37 CFR 3.73(b)Applicant/Patent Owner: Phillip Koh-Kwe HsuApplication No./Patent No.: 09/685,924 Filed/Issue Date: October 10, 2000Entitled: **INTRANET SYSTEM FOR A FINANCIAL SERVICES CORPORATION**

UBS Financial Services, Inc., a Corporation
 (Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
 2. ☐ an assignee of less than the entire right, title and interest.
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in the patent application/patent identified above by virtue of either:

- A ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

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- B ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: Phillip Koh Kwe Hsu To: Painewebber Incorporated
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☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Gragg I. Goldman
 Signature
Gragg I. Goldman
 Printed or Typed Name
 Director and Senior Counsel, Technology and
 Intellectual Property, UBS AG, Stamford Branch
 Title

5/12/05
 Date
203.719.3099
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